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SUBSIDIARY BODY FOR IMPLEMENTATION

REPORT OF THE SUBSIDIARY BODY FOR IMPLEMENTATION ON THE WORK OF ITS THIRTEENTH SESSION (PART ONE) LYON, 11-15 SEPTEMBER 2000

Addendum

CAPACITY-BUILDING

CAPACITY-BUILDING IN COUNTRIES WITH ECONOMIES IN TRANSITION [1]

Recommendation of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation

Draft decision -/CP.6

Capacity-building in countries with economies in transition

The Conference of the Parties,

Recalling its decision 11/CP.5,

Recalling Articles 4.1, 4.2, 4.5 and 4.6, 5, 6 and 12 of the Convention,

Noting Articles 2, 3, 5, 6, 7 and 17 of the Kyoto Protocol,

Further recalling its decisions 9/CP.2, 6/CP.4 and 7/CP.4,

Having considered the relevant recommendations of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation,[2]

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[1] This item was considered jointly with the Subsidiary Body for Scientific and Technological Advice at the first part of the thirteenth sessions, under agenda item 8 (b).

[2] FCCC/SBSTA/2000/10, FCCC/SBI/2000/10.

1. *Adopts* the framework for capacity-building activities in countries with economies in transition contained in the annex below;

2. *Decides* to give immediate effect to this framework, in order to assist Parties with economies in transition to implement the Convention;

3. *Notes* that many areas for capacity-building identified under the Convention are also relevant to the preparation of Parties with economies in transition for participation in the Kyoto Protocol process when the Protocol comes into force;

4. *Decides* to review the effectiveness of the implementation of the framework at regular intervals;

5. [*Invites* Annex II Parties and Parties with economies in transition to provide information to enable the Conference of the Parties and the subsidiary bodies to monitor progress in the implementation of this framework, [consistent with guidelines for the preparation of national communications];]

6. [*Urges* Annex II Parties, through multilateral agencies, including through the Capacity Development Initiative of the Global Environment Facility, and bilateral agencies and the private sector as appropriate, to ensure the financial resources and technical support required for the implementation of this framework for capacity-building, including assistance for the development of national action plans of Parties with economies in transition consistent with their own priorities;]

7. [*Further urges* multilateral and bilateral agencies to coordinate in providing streamlined and expedited approaches to financing and supporting the implementation of this framework for capacity-building;]

8. *Recommends* that the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its first session, adopt a decision endorsing this framework for capacity-building under the Convention that parallels the framework attached in the annex below, with additional reference to priority areas for capacity-building relating to implementation of the Kyoto Protocol;

9. *Requests* the secretariat, consistent with Article 8 of the Convention:

(a) To cooperate with multilateral and bilateral institutions to facilitate the implementation of this framework;

(b) To [collect], process, compile and disseminate the information needed by the Conference of the Parties and the subsidiary bodies to monitor progress in the implementation of this framework.

Annex

CAPACITY-BUILDING

CAPACITY-BUILDING IN COUNTRIES WITH ECONOMIES IN TRANSITION

Framework for capacity-building in countries with economies in transition

A. Purpose

1. The purpose of this framework for capacity-building is to set out the scope and basis for action for capacity-building activities in countries with economies in transition (EIT Parties) under the Convention [and for the preparation of EIT Parties for implementation of the Kyoto Protocol].

B. Guiding principles and approaches

2. This framework for capacity-building in EIT Parties is guided and informed by, *inter alia*, Articles 4.1, 4.2, 4.5 and 4.6, 5, 6 and 12 of the Convention and relevant provisions contained in decisions 9/CP.2, 6/CP.4, 7/CP.4 and 11/CP.5[1] and takes account of Articles 2, 3, 5, 6, 7 and 17 of the Kyoto Protocol.

3. As Parties included in Annex I, EIT Parties have quantified emission limitation and reduction commitments that impose challenges to their existing capacities to implement the Convention. As Parties undergoing the process of transition to a market economy, they need to enhance their ability to address climate change issues. Capacity-building is therefore critical to the effective implementation by EIT Parties of their commitments under the Convention [and the preparation of EIT Parties for implementation of the Kyoto Protocol].

4. Capacity-building for EIT Parties must be country-driven, consistent with their national sustainable development strategies, reflect their national initiatives and priorities, respond to needs determined and prioritized by EIT Parties themselves and be primarily undertaken by and in EIT Parties in partnership with other Parties and relevant organizations, as appropriate, in accordance with the provisions of the Convention.

5. Capacity-building should contribute to the effective implementation of the Convention by EIT Parties [and the preparation of EIT Parties for implementation of the Kyoto Protocol].

6. Capacity-building efforts are more effective when they take place within an enabling environment conducive to the development of human, institutional and technical capacity.

7. Capacity-building should be results-oriented and implemented in an integrated and programmatic manner to facilitate its monitoring and evaluation, cost-effectiveness and efficiency.

8. Capacity-building is a continuous process aimed at strengthening or establishing, as appropriate, relevant institutions, organizational structures, and human resources in order to

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[1] For the full texts of decisions adopted by the Conference of the Parties at its second, fourth and fifth sessions, see documents FCCC/CP/1996/15/Add.1, FCCC/CP/1998/16/Add.1 and FCCC/CP/1999/6/Add.1 respectively.

strengthen expertise relevant to the effective implementation of the Convention [and the preparation of EIT Parties for implementation of the Kyoto Protocol]

9. Capacities should be developed and strengthened in a manner and under conditions that will work towards sustainability and support the short- and long-term objectives and priorities of EIT Parties under the Convention [and the preparation of EIT Parties for implementation of the Kyoto Protocol].

10. Capacity-building involves "learning by doing". Capacity-building activities should be designed and implemented in a flexible manner.

11. Capacity-building should improve the coordination and effectiveness of existing efforts and promote the participation of and dialogue between a wide range of actors and constituencies, including governments at all levels, international organizations, civil society and the private sector.

12. Wherever possible, capacity-building should utilize existing institutions and bodies and build on existing processes and endogenous capacities.

13. National focal points and other institutions such as research centres and universities and other relevant organizations [may] [should] play an important role in providing capacity-building services and facilitating the flow of knowledge, best practices and information.

14. Capacity-building should be designed so that it results in the development, strengthening and enhancement of institutional capacities, human resources, knowledge and information, methodologies and practices, and the participation and networking of EIT Parties to promote sustainable development and to implement their commitments under the Convention [and their preparation for implementation of the Kyoto Protocol].

15. Capacity-building in support of achieving the objectives of the Convention [and the preparation of EIT Parties for implementation of the Kyoto Protocol] should maximize synergies between the Convention and other global environmental agreements, as appropriate.

16. Capacity-building is more effective when it is coordinated at all levels (national, regional and international) through dialogue between and among Annex I Parties, and when past and existing efforts are taken into account.

C. Objectives and scope of capacity-building

Objective

17. To build the capacity of EIT Parties to enable them to effectively implement the objectives of the Convention [and the preparation of EIT Parties for implementation of the Kyoto Protocol].

Scope for capacity-building

18. To ensure that capacity-building efforts are country-driven, each EIT Party should, within the scope for capacity-building, determine its specific objectives, needs, priorities, and options to implement the Convention [and the preparation of EIT Parties for implementation of the Kyoto

[Protocol] consistent with its national sustainable development strategy, taking into account existing capacities and past and current activities undertaken by the country itself and in partnership with bilateral and multilateral institutions and the private sector.

19. The needs for capacity-building in EIT Parties were first identified in the compilation and synthesis document prepared by the secretariat (FCCC/SB/2000/INF.2) based on the submissions of EIT Parties (FCCC/SB/2000/INF.7). The general areas and needs for capacity-building are listed below. [This scope for capacity-building may be revised as further information is made available and as needs and priorities are further identified.]

20. [General priority areas for capacity-building identified by EIT Parties related to the implementation of the Convention, which may also be relevant to their preparation for participation in the Kyoto Protocol are to be identified in their national action plan for capacity-building, and include:

(a) Improving the quality of the national greenhouse gas (GHG) inventories;

(b) Facilitating the elaboration of national policies and measures to reduce GHG emissions;

(c) Preparing projections and estimating the effect of policies and measures;

(d) Impact assessment and adaptation;

(e) Research and systematic observation;

(f) Education, training and public awareness;

(g) [Facilitating] transfer of environmentally-sound technologies;

(h) [Preparing] national communications and national climate action plans;

(i) [Establishing] national systems for estimation of GHG emissions;

(j) [Modalities for accounting relating to targets and timetables] [national systems];

(k) [Facilitating the implementation of] reporting obligations;

(l) [Joint implementation projects and emissions trading.] [Projects for joint implementation of emissions limitations and reductions].]

21. In order to maximize available resources for capacity-building and to facilitate exchange and cooperation among EIT Parties, multilateral and bilateral agencies in consultation with EIT Parties should assist as appropriate, the efforts of EIT Parties themselves to identify, develop and implement national, regional, subregional and sectoral activities that meet the capacity-building needs of EIT Parties. The results of the current and next phase of the Capacity Development Initiative of the Global Environment Facility (GEF) could provide valuable inputs for these activities.

D. Implementation

Responsibilities for implementation

22. In implementing the activities undertaken within this framework for capacity-building, EIT and Annex II Parties have the following mutual responsibilities:

(a) To improve the coordination and effectiveness of existing efforts;

(b) To provide information to enable the Conference of the Parties (COP) to monitor progress in the implementation of this framework for capacity-building;

(c) [To provide an enabling environment to promote the sustainability and effectiveness of capacity-building activities relating to the implementation of the ultimate objective of the Convention [and the preparation of the EIT Parties for implementation of the Kyoto Protocol].]

23. In the implementation of this framework for capacity-building, EIT Parties have the following responsibilities:

(a) To identify their specific needs, priorities and options for capacity-building on a country-driven basis, taking into account existing capacities and past and current activities;

(b) To identify and provide information on their own capacity-building activities;

(c) To promote cooperation among EIT Parties as well as to report to the COP on these activities in their national communications.

(d) To ensure the mobilization and sustainability of national capacities, including the institutional leadership necessary for national coordination and the effectiveness of capacity-building activities;

(e) To promote the participation in and access to capacity-building activities of all stakeholders, including governments, civil society and the private sector, as appropriate.

24. In cooperating with EIT Parties to support the implementation of this framework for capacity-building, Annex II Parties have the following responsibilities:

(a) [To assist EIT Parties, including through the provision of financial and other resources, to undertake country-level needs assessments to effectively implement the Convention [and and the preparation of EIT Parties for implementation of the Kyoto Protocol];]

(b) To assist EITs, including through the provision of financial and other resources, to implement options for capacity-building consistent with their specific priorities and this framework.

Financing

25. [The Annex II Parties [are urged], through multilateral agencies, including through the Capacity Development Initiative of the Global Environment Facility, and bilateral agencies and the private sector as appropriate, [to] [will] make available the financial resources and technical

support needed [to assist EIT Parties] in the implementation of this framework for capacity-building.]

Time-frame

26. The implementation of activities undertaken within this framework for capacity-building should commence as soon as possible to assist EIT Parties to implement the Convention [and in the preparation of EIT Parties for implementation of the Kyoto Protocol].

Monitoring of progress

27. The COP, through the subsidiary bodies, shall monitor the effectiveness of the implementation of this framework for capacity-building.

28. Information to enable the COP to monitor the effectiveness of the implementation of this framework should be reported by Parties. Other institutions involved in capacity-building in EIT Parties are invited to provide information for this purpose.

Role of the secretariat

29. In accordance with this framework for capacity-building, the secretariat is requested, consistent with Article 8 of the Convention, to undertake the following tasks:

(a) To cooperate with multilateral and bilateral institutions to facilitate the implementation of this framework;

(b) To [collect], process, compile and disseminate the information needed by the COP or its subsidiary bodies to monitor the progress in the implementation of this framework for capacity-building.

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